

**PATENT**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

ATTY DOCKET NO.: 5308-162

DATE: January 25, 2002

**UTILITY PATENT APPLICATION TRANSMITTAL LETTER  
AND FEE TRANSMITTAL FORM (37 CFR 1.53(b))**

BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, DC 20231



Sir:

Transmitted herewith for filing under 37 CFR 1.53(b) is:

- ☒ a patent application  
☐ a Continuation ☐ a Divisional ☐ a Continuation-in-Part (CIP) Application of prior application no.: \_\_\_\_\_; filed \_\_\_\_\_, the disclosure of which is hereby incorporated herein by reference in its entirety.  
☒ and claims the benefit of Provisional Application Nos. 60/307,235; filed July 23, 2001; and 60/265,707, filed February 1, 2001.

Inventor(s) or Application Identifier:

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**Robert C. Glass**  
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**Brian Thibeault**  
1914 Cleveland Avenue, Santa Barbara, CA 93103

**Eric J. Tarsa**  
105 Dearborn Place, Apt. 41, Goleta, CA 93117

Entitled: **LIGHT EMITTING DIODES INCLUDING MODIFICATIONS FOR LIGHT  
EXTRACTION AND MANUFACTURING METHODS THEREFOR**

Correspondence Address:



20792

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Enclosed are:

1. ☒ Application Transmittal Letter and Fee Transmittal Form (*A duplicate is enclosed for fee processing*)
2. ☒ 53 pages of Specification (including 148 claims)
3. ☒ 15 sheets of Formal Drawings (35 USC 113)
4. ☐ Oath or Declaration
  - a. ☐ newly executed (*original or copy*)
  - b. ☐ copy from prior application (37 CFR 1.63(d) (*for continuation/divisional*) [Note Box 6 Below]
  - c. ☐ DELETION OF INVENTOR(S) (*Signed statement deleting inventor(s) named in the prior application*)
5. ☐ Application Data Sheet. See 37 CFR 1.76
6. ☐ Incorporation By Reference (*useable if box 4b is checked*)  
 The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
7. ☐ Microfiche Computer Program (*Appendix*)
8. ☐ Assignment papers (*cover sheet(s) and document(s)*)
9. ☐ Applicant claims small entity status. See 37 CFR 1.27.
10. ☒ Information Disclosure Statement, PTO-1449, and 38 references cited
11. ☐ Preliminary Amendment (*Please enter all claim amendments prior to calculating the filing fee.*)
12. ☐ English Translation Document
13. ☐ Certified Copy of Application No. ; Filed
14. ☐ Sequence Listing/ Sequence Listing Diskette
  - a. ☐ computer readable copy
  - b. ☐ paper copy
  - c. ☐ statement in support
15. ☐ An Associate Power of Attorney
16. ☒ Return Receipt Postcard (MPEP 503) (*Should be specifically itemized*)
17. ☐ Other:

The fee has been calculated as shown below:

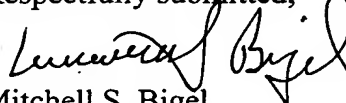
	Column 1 No. Filed	Column 2 No. Extra	Small Entity Rate Fee	Large Entity Rate Fee
BASIC FEE			\$370.00	\$ 740.00
TOTAL CLAIMS	148 - 20 =	128	x 09 = \$	x 18 = \$2304.00
INDEP CLAIMS	11 - 3 =	8	x 42 = \$	x 84 = \$672.00
<input type="checkbox"/> MULTIPLE Dependent Claims Presented			+ 140 = \$	+ 280 = \$
If the difference in Col. 1 is less than zero, Enter "0" in Col. 2			Total \$	Total \$3716.00

- ☐ A check in the amount of \$ to cover the filing fee is enclosed.
- ☐ A check in the amount of \$ is enclosed to cover the filing fee, PLUS the Assignment Recordation fee (\$40.00).
- ☐ Please charge my Deposit Account No. 50-0220 in the amount of \$

☐ The Commissioner is hereby authorized to credit overpayments or charge the following fees associated with this communication to Deposit Account No. 50-0220:

- a. ☐ Additional filing fees under 37 CFR 1.16 for presentation of extra claims.
- b. ☐ Additional patent application processing fees under 37 CFR 1.17.

Respectfully submitted,

  
Mitchell S. Bigel  
Registration No. 29,614

**Correspondence Address:**



**20792**


PATENT TRADEMARK OFFICE

**CERTIFICATE OF EXPRESS MAILING**

Express Mail Label No. EL 920740408 US

Date of Deposit: January 25, 2002

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: BOX PATENT APPLICATION, Commissioner for Patents, Washington, DC 20231.



Susan E. Freedman

Date of Signature: January 25, 2002

01/25/02



ATTORNEY DOCKET NO. 5308-162

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Slater, Jr. et al.

Serial No. To be assigned

Filed: Concurrently herewith

For: **LIGHT EMITTING DIODES INCLUDING MODIFICATIONS FOR LIGHT  
EXTRACTION AND MANUFACTURING METHODS THEREFOR**

January 25, 2002

BOX PATENT APPLICATION

Commissioner for Patents

Washington, DC 20231

APPLICATION FILED UNDER 37 CFR 1.41(c)

Sir:

The above-identified application is being filed on behalf of the inventors under the provisions of 37 CFR 1.41(c). A Declaration and Power of Attorney from the inventors will follow, 37 CFR 1.63.

Respectfully submitted,

Mitchell S. Bigel

Registration No. 29,614

**Correspondence Address:**



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